

U.S. PTO  
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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Tai-Tung YIP, Terence C.W. POON, Philip JOHNSON, Victor YIP, Christine YIP, and Anthony CHAN

Application No./Patent No.: 10/508,781 Filed/Issue Date: September 23, 2004

Entitled: SERUM BIOMARKERS IN HEPATOCELLULAR CARCINOMA

The Chinese University of Hong Kong, a university

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is 50 %

In the patent application/patent identified above by virtue of either:

A ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
Signature

Ms Ngan, Alice Man Wai

Printed or Typed Name

29 June 2005

Date

(852)2609-8883

Telephone Number

Director, Research and Technology Administration Office

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**ASSIGNMENT OF PATENT APPLICATION**

**JOINT**

**WHEREAS, TERENCE C. W. POON** of Suite 2, 12/F, Tower C, Serenade Cove, 623 Castle Peak Road, Tsuen Wan, Hong Kong; **PHILIP JOHNSON** of 21 Chantry Road, Moseley, Birmingham B13 8DL, United Kingdom; and **ANTHONY CHAN** of 4B, Twin Brook, 43 Repulse Bay Road, Hong Kong; hereinafter referred to as "Assignors," are three of the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention:           **SERUM BIOMARKERS IN HEPATOCELLULAR  
CARCINOMA**

Date of Execution of Declaration: Concurrent with the signing of this Assignment

Filing Date:                   September 23, 2004

Application No.:           10/508,781; and

**WHEREAS, The Chinese University of Hong Kong**, an educational institution, located at Shatin, N.T., Hong Kong SAR, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on any patent application claiming priority from the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these present do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 31 May 05



TERENCE C. W. POON

WITNESSED BY:

Name: ANG LING

Signature: [Signature]

Address: Rm 301, Cancer Centre

Prince of Wales Hospital, Shatin  
HK.

Date: 31 May 2005

Name: Lee Mei Lan May

Signature: [Signature]

Address: Rm 301, Cancer Centre

Prince of Wales Hospital, Shatin

Date: 31 May 2005

Dated: \_\_\_\_\_

\_\_\_\_\_  
PHILIP JOHNSON

WITNESSED BY:

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Address: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Address: \_\_\_\_\_

Date: \_\_\_\_\_

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: \_\_\_\_\_

\_\_\_\_\_  
TERENCE C. W. POON

WITNESSED BY:

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_


Address: \_\_\_\_\_  
\_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

13/06/05  
Dated: \_\_\_\_\_

  
\_\_\_\_\_  
PHILIP JOHNSON

WITNESSED BY:

Name: L. BILLINGHAM

Name: S. DUNN

Signature: 

Signature: 

Address: CANCER RESEARCH UK  
CLINICAL TRIALS UNIT

Address: CANCER RESEARCH UK  
CLINICAL TRIALS UNIT

Date: 13/06/05

Date: 13/6/05

Dated: 31<sup>st</sup> May 2005



ANTHONY CHAN

WITNESSED BY:

Name: Nicole Ngan

Signature: [Handwritten Signature]

Address: RM 607, SIR YK PAO

CENTRE FOR CANCER. PRINCE OF WALES  
HOSPITAL. SHATIN.

Date: 31 MAY 2005

Name: LEE SHUK HAN

Signature: [Handwritten Signature]

Address: RM 610, SIR YK PAO CENTRE FOR CANCER.

PRINCE OF WALES HOSPITAL. SHATIN.

Date: 31 MAY 2005

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PTO/SB/96 (09-04)

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Applicant/Patent Owner: Tai-Tung YIP, Terence C.W. POON, Philip JOHNSON, Victor YIP, Christine YIP, and Anthony CHAN

Application No./Patent No.: 10/508,781 Filed/Issue Date: September 23, 2004

Entitled: SERUM BIOMARKERS IN HEPATOCELLULAR CARCINOMA

Ciphergen Biosystems, Inc., a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or  
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is 50 %

in the patent application/patent identified above by virtue of either:

A ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

John Storella  
Signature

9/12/05  
Date

John Storella  
Printed or Typed Name

510-505-2100  
Telephone Number

Vice President  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**ASSIGNMENT OF PATENT APPLICATION**

**JOINT**

**WHEREAS, TAI-TUNG YIP** of 1532 Aster Court, Cupertino, CA 95014; **VICTOR YIP** of 1465 65th Street, Apt 419, Emeryville, CA 94608; and **CHRISTINE YIP** of 1532 Aster Court, Cupertino, CA 95014; hereinafter referred to as "Assignors," are three of the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention:       **SERUM BIOMARKERS IN HEPATOCELLULAR  
CARCINOMA**

Date of Execution of Declaration: Concurrent with the signing of this Assignment

Filing Date:               September 23, 2004

Application No.:         10/508,781; and

**WHEREAS, CIPHERGEN BIOSYSTEMS, INC.**, a corporation of the state of Delaware, located at 6611 Dumbarton Circle, Fremont, CA, 94555, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on any patent application claiming priority from the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these present do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: July 18, 2005

Tai-Tung Yip  
TAI-TUNG YIP

WITNESSED BY:

Name: Rochelle Gallegos

Name: Sarah Lynn Torres

Signature: Rochelle Gallegos

Signature: Sarah Lynn Torres

Address: 6611 Dunbarston Circle

Address: 6611 Dunbarston Circle

Fremont, CA 94555

Fremont, CA 94555

Date: 7/18/05

Date: July 18, 2005

Dated: \_\_\_\_\_

\_\_\_\_\_  
VICTOR YIP

WITNESSED BY:

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Address: \_\_\_\_\_

Address: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_



IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: \_\_\_\_\_

\_\_\_\_\_  
TAI-TUNG YIP

WITNESSED BY:

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

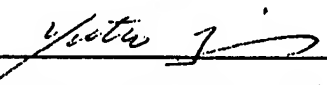
Dated: Aug. 31<sup>st</sup> 2005

  
VICTOR YIP

WITNESSED BY:

Name: Yitao Jiang

Name: Ting Wang

Signature: 

Signature: 

Address: #7489 Stanford Pl.

Address: 5478 Sunstar Cmn.

Cupertino, CA 95014

Fremont, CA 94555

Date: 09/07/05

Date: 09/07/2005

Dated: 7/18/2005

Christine Yip  
CHRISTINE YIP

WITNESSED BY:

Name: Rocki Meza

Signature: [Signature]

Address: 6611 Dumbarton Circle  
Fremont CA 94555

Date: 18 July '05

Name: Sarah Lyn Torres

Signature: [Signature]

Address: 6611 Dumbarton Circle  
Fremont CA 94555

Date: July 18, 2005